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PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **MI22-1531**

First Inventor or Application Identifier **Leonard Forbes**

Title **Methods of Forming Capacitor Structures, and Capacitor Structures**

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **36**]
(preferred arrangement set forth below)
 - Descriptive title of the Invention (includes title pg)
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **6**]
4. Oath or Declaration [Total Pages **4**]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney (when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity Statement(s) ☐ Statement filed in prior application (PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☒ Other: **Check**

NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

021567

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

David G. Latwesen, Ph.D.

Registration No. (Attorney/Agent)

38,533

Signature

[Signature]

Date

1/5/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 1997.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 1002.00

Complete if Known

Application Number Filed herewith
Filing Date
First Named Inventor Leonard Forbes
Examiner Name
Group / Art Unit
Attorney Docket No. MI22-1531

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
Deposit Account Number 23-0925
Deposit Account Name Wells, St. John et al.
☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------|-----------------------|------------------------|----------|
| 101 | 201 | Utility filing fee | 710 |
| 106 | 206 | Design filing fee | |
| 107 | 207 | Plant filing fee | |
| 108 | 208 | Reissue filing fee | |
| 114 | 214 | Provisional filing fee | |
| SUBTOTAL (1) | | | (\$ 710) |

2. EXTRA CLAIM FEES

Extra Claims Fee from below Fee Paid
Total Claims 34 - 20** = 14 x 18 = 252
Independent Claims 3 - 3** = 0 x 80 = 0
Multiple Dependent 0 = 0

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code | Small Entity Fee Code | Fee Description |
|-----------------------|-----------------------|--|
| 103 | 203 | Claims in excess of 20 |
| 102 | 202 | Independent claims in excess of 3 |
| 104 | 204 | Multiple dependent claim, if not paid |
| 109 | 209 | ** Reissue independent claims over original patent |
| 110 | 210 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 252)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 105 | 205 | Surcharge - late filing fee or oath | 0.00 |
| 127 | 227 | Surcharge - late provisional filing fee or cover sheet | 0.00 |
| 139 | 239 | Non-English specification | 0.00 |
| 147 | 247 | For filing a request for reexamination | 0.00 |
| 112 | 212 | Requesting publication of SIR prior to Examiner action | 0.00 |
| 113 | 213 | Requesting publication of SIR after Examiner action | 0.00 |
| 115 | 215 | Extension for reply within first month | 0.00 |
| 116 | 216 | Extension for reply within second month | 0.00 |
| 117 | 217 | Extension for reply within third month | 0.00 |
| 118 | 218 | Extension for reply within fourth month | 0.00 |
| 128 | 228 | Extension for reply within fifth month | 0.00 |
| 119 | 219 | Notice of Appeal | 0.00 |
| 120 | 220 | Filing a brief in support of an appeal | 0.00 |
| 121 | 221 | Request for oral hearing | 0.00 |
| 138 | 238 | Petition to institute a public use proceeding | 0.00 |
| 140 | 240 | Petition to revive - unavoidable | 0.00 |
| 141 | 241 | Petition to revive - unintentional | 0.00 |
| 142 | 242 | Utility issue fee (or reissue) | 0.00 |
| 143 | 243 | Design issue fee | 0.00 |
| 144 | 244 | Plant issue fee | 0.00 |
| 122 | 222 | Petitions to the Commissioner | 0.00 |
| 123 | 223 | Petitions related to provisional applications | 0.00 |
| 126 | 226 | Submission of Information Disclosure Stmt | 0.00 |
| 581 | 581 | Recording each patent assignment per property (times number of properties) | 40 |
| 146 | 246 | Filing a submission after final rejection (37 CFR 1.129(a)) | 0.00 |
| 149 | 249 | For each additional invention to be examined (37 CFR 1.129(b)) | 0.00 |
| Other fee (specify) | | | 0.00 |
| Other fee (specify) | | | 0.00 |

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40)

SUBMITTED BY

Typed or Printed Name David G. Latwesen, Ph.D.

Signature

Date

1/5/2001

Complete (if applicable)

Reg. Number 38,533

Deposit Account User ID